

09/17/01

JC852 U.S. PTO

09-19-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 02821.P004X

(maximum 12 characters)

First Named Inventor Jason S. Scott, et al.

Title: Enhancing Utility and Diversifying Model Risk in a Portfolio Optimization Framework

Express Mail Label No. EL 886506955 US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original, and a duplicate for fee processing)
2. ☐ **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. ☒ **Specification (Total Pages 49)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ **Drawings(s) (35 USC 113) (Total Sheets 10)**
5. ☒ **Oath or Declaration (Total Pages 5)**
  - a. ☐ Newly Executed (Original or Copy)
  - b. ☐ Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i. ☐ **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☒ Unsigned.
6. ☐ **Application Data Sheet. (37 CFR 1.76)**
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies), or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

Docket No. 02821.P004X  
Express Mail No. EL886506955US

JC971 U.S. PTO

09/17/01

Docket No. 02821.P004X  
Express Mail No. EL886506955US

Serial/Patent No.: Unassigned Filing/Issue Date: Concurrently  
Client: Financial Engines, Inc.  
Title: Enhancing Utility and Diversifying Model Risk in a Portfolio Optimization Framework  
BSTZ File No.: 02821.P004X Atty/Secty Initials: MAD/fr  
Date Mailed: 9-17-01 Docket Due Date: \_\_\_\_\_

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Amendment/Response (____ pgs.)   | <input checked="" type="checkbox"/> Express Mail No. <u>EL886506955US</u>            | <input checked="" type="checkbox"/> Check No. <u>1889</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                               | <input type="checkbox"/> _____ Month(s) Extension of Time                            | Amt. <u>\$1,408.00</u>                                    |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)             | <input type="checkbox"/> Information Disclosure Statement & PTO 1449 (____ pgs.)     | <input type="checkbox"/> Check No. _____                  |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                    | <input type="checkbox"/> Issue Fee Transmittal                                       | Amt. _____  |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                      | <input type="checkbox"/> Notice of Appeal  |   |
| <input checked="" type="checkbox"/> Application - Rule 1.53(b) CIP ( <u>49</u> pgs.)            | <input type="checkbox"/> Petition for Extension of Time                              |   |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                 | <input type="checkbox"/> Petition for _____  |   |
| <input type="checkbox"/> Application - Design (____ pgs.)                                       | <input checked="" type="checkbox"/> Postcard   |   |
| <input type="checkbox"/> Application - PCT (____ pgs.)  | <input type="checkbox"/> Power of Attorney (____ pgs.)                               |   |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                  | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                           |   |
| <input type="checkbox"/> Assignment and Cover Sheet   | <input type="checkbox"/> Reply Brief (____ pgs.)                                     |   |
| <input checked="" type="checkbox"/> Certificate of Mailing                                      | <input type="checkbox"/> Response to Notice of Missing Parts                         |   |
| <input type="checkbox"/> Declaration & POA (____ pgs.)  | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |   |
| <input type="checkbox"/> Disclosure Docs & Orig. & Copy of Inventor's Signed Letter (____ pgs.) | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate                 |   |
| <input checked="" type="checkbox"/> Drawings: <u>10</u> # of sheets includes <u>12</u> figures  | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                    |   |

☐ Other: \_\_\_\_\_

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Date of Deposit: September 17, 2001

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Fran C. Rolfsen

(Name of person mailing paper or fee)

Fran C. Rolfsen

(Signature of person mailing paper or fee)

9-17-01

(Date signed)

**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** \$ 1,408.00**Complete if Known:**

Application No. Unassigned  
 Filing Date Concurrently  
 First Named Inventor Jason S. Scott, et al.  
 Group Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket No. 02821.P004X

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name \_\_\_\_\_

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check  
☐ Credit Card  
☐ Money Order  
☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	710	201	355	Utility application filing fee	<u>\$ 710.00</u>
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____
SUBTOTAL (1) \$					<u>710.00</u>

**2. EXTRA CLAIM FEES**

			Extra Claims	Fee from below	Fee Paid
Total Claims	<u>41</u>	- 20** =	<u>21</u>	X \$ 18.00 =	<u>\$378.00</u>
Independent Claims	<u>7</u>	- 3** =	<u>4</u>	X \$ 80.00 =	<u>\$320.00</u>
Multiple Dependent					= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 698.00

**FEE CALCULATION (continued)**

## 3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
Other fee (specify) _____					

SUBTOTAL (3) \$ \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctis

Signature: \_\_\_\_\_

Date: 9/17/01Reg. Number: 39,957Telephone Number: (303) 740-1980

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"Express Mail" Mailing No. EL 886506955 US

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: September 17, 2001Name of Person Mailing Correspondence: Fran C. RolfsenFran C. Rolfsen  
Signature9-17-01  
Date